



## Indiana Criminal Justice Institute Drug & Crime Control Division



### Grant Monitoring and Evaluation Policy

The Drug & Crime Control Division of the Indiana Criminal Justice Institute is responsible for monitoring awards and providing reasonable assurance that sub-grantees are:

- Doing what was proposed and approved
- Meeting programmatic, administrative, fiscal requirements
- Remaining consistent with the plan for programs/projects
- Identifying and resolving problems/issues
- Receiving needed training/guidance

The goals of the Grant Monitoring and Evaluation Policy of the Drug & Crime Control Division of the Indiana Criminal Justice Institute are to:

- Provide accountability and oversight
- Ensure proper spending
- Visit programs that may need assistance
- Measure sub-grantee performance
- Identify opportunities for improvement
- Serve the needs of the sub-grantees
- Provide a helpful environment

Grant Monitoring and Evaluation shall be accomplished through the following methods:

- Technical Assistance
- Monitoring Assessment Tool
- Desk Review
- On-site and Assessment Visits
- Regular Communications

#### Technical Assistance

Each Sub-Grantee shall meet with the staff of the Indiana Criminal Justice Institute at the beginning of each grant period and as needed throughout the duration of the grant. The purpose of the initial meeting is to review the timeline of the program, project deliverables, review of all grant reporting requirements (fiscal and program reports) and to review the grant proposal by the Sub-Grantee. The purpose of the subsequent meeting will be to ensure good communications between the agencies and allow for any questions, problems, or updates that might arise.

#### Monitoring Assessment Factors

The Drug & Crime Control Division of the Indiana Criminal Justice Institute shall use information such as award amount, monitoring, compliance, issues, etc. in monitoring each sub-grantee. Examples of some issues that will be addressed on an "as needed basis" and includes, but is not limited to:

- Special Conditions
- Delinquent Reports
- Open Audit Findings
- Prior Issues/Problems

- Confidential Funds
- Technical Assistance
- Multiple BJA Grants
- Best Practices

### **Monitoring Assessment Tool**

The Drug & Crime Control Division of the Indiana Criminal Justice Institute utilizes an electronic tool to assist in reviewing performance and compliance factors for each sub-grantee. The level of monitoring for each sub-grantee is determined using a weighted rating system for various factors.

### **Desk Review**

The Drug & Crime Control Division staff conducts a “desk review” of all financial and programmatic reports required of each sub-grantee. Such reports are reviewed for compliance, timeliness, completeness, and accuracy. All financial and programmatic reports are compared to approved project proposals. Desk Reviews shall consist of at least the following:

- Assess sub-grantee’s need for monitoring
- Assess status, progress and performance
- Review performance and compliance factors
- Determine level of monitoring

### **On-Site and Assistance Visits**

The purpose of an on-site monitoring and assistance visit is to ensure the success of a project, to identify problems before they become serious, and to document changes and trends in conditions and strategies related to award-funded activities.

### **Financial Review**

The financial review consists of an analysis and evaluation of each sub-grantee’s accounting system including both federal and match funds to assure that it provides full accountability for revenues, expenditures, assets and liabilities. The Drug & Crime Control Division staff checks to make certain that there is proper segregation of duties.

A review of all expenditures is performed and evaluated to ensure they are made only for allowable services and are within the proper time period. There is also an examination of prepared financial reports to ensure they contain accurate and reliable financial information and presented in accordance with the terms of the Certified Assurances and Special Conditions.

The following financial reports, as well as all original documents must be made available for review for the time period requested:

- A. Detailed revenue, expenditure and encumbrance reports;
- B. General ledger;
- C. Agency reconciliation reports;
- D. Payroll – list of employees paid by the grant, timesheets, etc;

- E. Check register, bank statements and cancelled checks if any;
- F. Task force records for confidential fund expenditures; and
- G. Program Income records, if applicable.

### **Programmatic Review**

The programmatic review consists of questions that deal with the administrative functions as well as questions that relate to activities that are supported by the award funds. There are certain questions that are consistent between all programs such as:

1. Do the project goals, objectives and services continue to reflect those proposed in the award application?
2. Are the objectives time bound, observable, measurable, activity related?
3. What kind of evaluation does the sub-grantee have in place that measures progress toward the goals and objectives of the program?
4. If changes have been made, have they received prior approval of the Indiana Criminal Justice Institute?
5. Are performance or activity and financial reports submitted on time?
6. Does the sub-grantee have a written code of conduct regarding the performance of employees regarding conflict of interest?
7. What type of information is included in property records and is a physical inventory of equipment being taken and how often?
8. What precautions have been taken so that there is no business being done with a suspended or debarred party?
9. How can the Indiana Criminal Justice Institute Staff assist the sub-grantee in the management of the grant?
10. Does the sub-grantee have any materials publicizing or resulting from award activities? If so, has the award recipient followed guidelines including the appropriate acknowledgement of support?

Additional program specific questions will also be asked. The above list indicates what types of administrative questions may be expected during a site visit.

### **Regular Communications**

Regular communications shall be maintained with each sub-grantee via telephone, e-mail, and US Postal Service.

**Contact Information:**

Katalina Gullans  
Deputy Director of Programs  
(317) 232-4220  
kgullans@cji.in.gov

Steven Ray King  
Director, Drug and Crime Control Division  
(317) 234-1653  
sking@cji.in.gov

Terrie Grantham  
Grants Program Manager  
(317) 232-1230  
tgrantham@cji.in.gov